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ABSTRACT

Supporting performance objectives 27 and 15 of the V-TECS (Vocational-Technical Education Consortium of States) Secretarial Catalog, both a set of student materials and an instructor's manual on managing records systems are included in this packet. (The packet is the seventh in a set of nine on maintaining files and a library--CE 016 939-947.) The student materials include information using the card tickler file and managing file folders, a student activity, two check-out activities, and an instructor's final checklist. The instructor's manual includes directions for preparing the module for student use and answer keys for the check-out activities. The materials are designed for self-paced individual instruction and may be adapted for use with large groups. (A separate booklet--CE 016 911--lists contents for the nine packets in this set along with those in several other sets--seventy-eight packets in all--based on the same V-TECS catalog.) (JT)

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MANAGING RECORDS SYSTEMS

STUDENT'S MANUAL

Materials in this Lesson
have been

Modified by
Sadie McLeod

from
Materials Developed and Graciously Provided by
Bureau of Vocational Education, State Department of Education
and
Department of Vocational Education
College of Education, University of Kentucky

These materials support
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TO THE EDUCATIONAL RESOURCES INFORMATION CENTER (ERIC) AND USERS OF THE ERIC SYSTEM."

MANAGING RECORDS SYSTEMS

INTRODUCTION

Records are maintained because they are important in the operation of the business. Just knowing the proper guidelines in storing records does not make the filing system efficient. Retrieval and followup of borrowed records is just as important as the actual filing. In order to be an efficient secretary it is imperative that you know the correct procedures for checking out records, transferring records, and disposing of records. It is also necessary for you to know the basic types of supplies and equipment that are available for filing systems in case you are asked to establish a new filing system. In this module you will learn to handle these situations.

DIRECTIONS

Before you begin work on this module, be sure you have completed Module IV-D, "Numeric Filing," Module IV-E, Geographic Filing," and Module IV-F, "Subject Filing." If you have completed these modules, read the objectives below. Then perform the Learning Activities in the order given. Your instructor will provide the necessary supplies for the tickler file.

OBJECTIVE

(1) Given a tickler file and other necessary supplies and transactions involving the use of the tickler file, maintain the tickler file for one week. The Instructor's Final checklist will be used to evaluate your performance. All items must be rated acceptable.

(2) Given a group of file folders, inventory the files, merging, revising, transferring and disposing of materials so that active and inactive files contain appropriate information. Performance will be based on thoroughness and accuracy as determined by the instructor.

LEARNING ACTIVITIES

READ	1.	READ Meehan, Pasewark, Oliverio, *Clerical Office Procedure,* pp. 243-249, pp. 266-274.
READ	2.	COMPLETE Instruction Sheet I, USING THE CARD TICKLER FILE.
READ	3.	COMPLETE Instruction Sheet II, MERGING, REVISING, TRANSFERRING, AND DISPOSING OF FILE FOLDERS.
CHECK	4.	ARRANGE with your instructor to complete this module by performing the CHECK-OUT ACTIVITIES.

Instruction Sheet I

USING THE CARD TICKLER FILE

You have learned that the card tickler file consists of 12 monthly primary guides and 31 daily secondary guides. Notes concerning file follow-up and daily reminders are placed behind the correct month and day that action is necessary.

Obtain the supplies and container from your instructor to set up a card tickler file. If necessary refer to your text for correct guide placement. Assume it is March of the current year. Notice that in some cases more than one note for the same day is placed on one card.

File the notes on pages 3.1 - 3.5 behind the correct guide. Be sure you cut the notes along the solid line so you have a slip of paper approximately 3" x 5". In some cases, someone may have already done this for you. Keep your card tickler file in the proper order since it will be used in the final check-out.

March 13

Mr. Burns is to return the Main Florist and Gift Shop folder.

March 14

Mr. Carter need to get a letter to First Natl Bank today concerning note payable due March 31.

Check to make sure Mr. Dale has returned employees' folder.

March 10

Make sure things are set up in conference room for the quality board meeting for tomorrow morning.
NEED: pens, paper
refreshments?

March 11

Remind Mr. Burns of luncheon appointment with Mr. Crawley from Wholesale House, Ltd. at Stouffers Inn.

March 12

Finalize itinerary for Ms. Carter's trip to Chicago. Verify all reservations.

March 10

Mr. Burns needs to do six-month employment review for: Joyce Arends - Jewelry Dept.
Harry Roeder - Shoe Dept.
Gladys Engles - Ladies Dept.

March 13

Mr. Burns needs to forecast need for additional employees for Easter Sale.

March 14

Make sure EOM Sale advertisement gets to the printer.

March 11

Mr. Carter needs to retuen the Rollins Printing Co. folders.

Mr. Burns has important meeting with R. E. Jones at 2:00 p.m.

Instruction Sheet II

MERGING, REVISING, TRANSFERRING, AND DISPOSING OF FILE FOLDERS

At times it will be necessary to up-date the files. Sometimes you may decide to merge (put together) folders that contain few pieces of correspondence. Some folders may become quite large and require you to revise or separate them into two or more parts.

You have already learned that transfer of folders is necessary to keep the files active and that once a document is no longer needed, proper disposal is necessary.

Below you see primary guides and secondary guides with a number at the right indicating the pieces of correspondence behind each guide.

Accounting	
General	15
Payroll	105
Advertising	
Advertising	210
Facilities	28
Equipment	
Office	9
Store	10

As you can see, the Payroll and Advertising files are quite crowded. It is necessary that these areas be broken down further. You do this by examining the items in the file and deciding on a logical subject. Upon examination it is decided to break payroll as follows:

Payroll	
Check Writing	32
Register	28
Taxes	45

As you can see by this revision, the documents are more evenly distributed which will make filing easier.

Advertising can likewise be revised as:

Advertising	
Mail	80
Magazine	49
Newspaper	48
Radio and TV	33

It appears that there is little correspondence under Equipment so it is correct to merge this together into one file entitled "Equipment" with 19 documents in the folder.

Dates are important when considering transferring and disposing of folders. Remember, before you begin this process it is essential to have the proper transfer release mark and date of disposal.

Periodic transfer systems are used to dispose of records that are inactive (used less than over a month). A common transfer schedule is one that is done quarterly. This means that records are transferred every three months (January 1 – March 31) (April 1 – June 30) (July 1 – September 30) (October 1 – December 31). If an invoice is dated March 19, 1977 and the quarter ends March 31, the invoice is transferred on April 1.

When files are transferred quarterly, they are also dated for disposal. This disposal date is written on the file and is usually two years from the date of the invoice or letter. For example, when the invoice above is transferred on April 1, the file clerk writes the disposal date of March 19, 1979 and would then discard this file in March of 1979.

CHECK-OUT ACTIVITIES

The statements below explain the activities you must be able to complete in order to finish this module. As you perform each activity, your instructor will rate your performance using the Instructor's Final Checklist, MANAGING RECORDS SYSTEMS.

CHECK-OUT ACTIVITY I

Make appropriate notes on cards for the following situations. Use the blank cards to make your notes. After you have made notes, file them in the proper place in the card tickler file.

On Monday, March 10, the following needs to be noted:

1. Letter from L. V. Dale High School confirming visit to the store on March 21, at 9:30 a.m.
2. Mr. Carter removed R-M Bakery folder; it is due back March 17.
3. Mr. Burns removed North Carolina Carpet Co. folder; it is due to be returned March 17.
4. Letter to Mr. Burns from Chamber of Commerce for special meeting on Community Relations Project for March 20 at 1:00 p.m., City Hall
5. Quarterly Employees Tax Report to be in mail by March 31
6. Mr. Dale borrowed Store Equipment folder. He expects to need it until March 21.

CHECK-OUT ACTIVITY II

1. Use the following as primary guides (pg), secondary guides (sg), and folders (f). The numbers at the right indicate the number of items in each folder.

Administration	(pg)	
Personnel	(sg)	25
Recruitment	(f)	15
Advertising	(pg)	
Mail	(f)	50
Brochures	(f)	16
Announcement	(f)	25
Radio and TV	(f)	110
Insurance	(pg)	
Accident	(f)	14
Fire	(f)	10
Theft	(f)	5
Research	(pg)	
Laboratory	(f)	23
Market	(f)	59

On a sheet of paper you provide, decide how to merge and revise the files to improve the filing system. You may not be able to note the numbers of items in the new folder.

2. Assume that today is April 4, 1975. The end of the quarterly sales period was March 31. Indicate whether the following would be transferred if a periodic transfer system is being used. It is the policy of the store to maintain sales invoices for two years in a numeric filing sequence. If the invoice is to be transferred, indicate the correct date of disposal. Use your own paper for your answers.

	Customer Invoice No.	Date	Transferred (yes or no)	Date of Disposal
1.	4-11-19 (4875)	April 1, 1975		
2.	4-11-27 (2932)	March 2, 1975		
3.	5-11-05 (12976)	Feb. 28, 1975		
4.	5-11-17 (8979)	Jan. 3, 1975		
5.	5-11-25 (1239)	April 3, 1975		
6.	6-11-03 (4697)	Jan. 15, 1975		
7.	6-11-07 (1283)	March 7, 1975		
8.	6-11-23 (3128)	March 21, 1975		

Instructor's Final Checklist

MANAGING RECORDS SYSTEMS

Check the student's performance in the following elements of managing records systems.

Place an X in the appropriate box indicating not accomplished, partially accomplished, or fully accomplished. If, because of special circumstances, the item was impossible to complete, place an X in the "Not Applicable" box.

Performance Level: All items must receive a rating of FULLY ACCOMPLISHED (or Not Applicable). If any items are rated Not Accomplished, or Partially Accomplished, the student and instructor will discuss this and decide which learning activities must be repeated.

	STUDENT PERFORMANCE			
	Not Applicable	Not Accomplished	Partially Accomplished	Fully Accomplished
1. The student correctly recorded the notes on the card tickler file	[ ]	[ ]	[ ]	[ ]
2. The student correctly filed the cards in the tickler file	[ ]	[ ]	[ ]	[ ]
3. The student correctly up-dated the files by merging and revising where necessary	[ ]	[ ]	[ ]	[ ]
4. The student correctly noted invoices that needed to be transferred and appropriate date of disposal	[ ]	[ ]	[ ]	[ ]

MANAGING RECORDS SYSTEMS

INSTRUCTOR'S MANUAL

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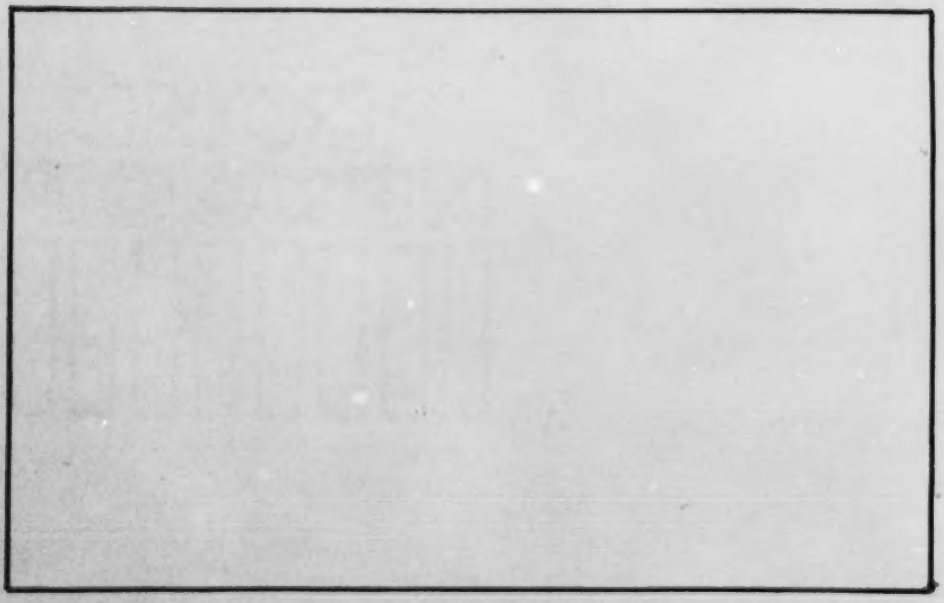
NOTES TO TEACHER

In order to prepare this module for student use, you will need to supply a card tickler file, guides, folders, note cards, and scissors. A sheet of blank note cards is provided in your manual for your use in duplicating. Six note cards per student are needed for Check-Out Activity I.

The Instructor's Final Checklist, page 8, is a perishable item also, and should be duplicated for your use in rating each student's performance.

Keys for the check-out activities are provided in your manual.



KEY

Check-Out Activity I

March 17

Mr. Carter needs to return
R-M Bakery folder

Mr. Burns needs to return
the North Carolina Carpet
Company folder.

March 20

Remind Mr. Burns of the
Chamber of Commerce special
meeting on Community Relations
Project at 1 p.m., City Hall.

KEY

Check-Out Activity I

March 21

Make sure everything is in order for the L. V. Dale High School visit at 9:30 a.m.

Check to be sure Mr. Dale has returned Store Equipment folder.

March 31

Mail Quarterly Employer Tax Report.

KEY

CHECK-OUT ACTIVITY II

1. Possible Revisions:
   Under Advertising, divide Mail and Radio and TV as follows:
   Mail
   - Correspondence
   - General

   Radio
   - AM
   - FM

   TV
   - ABC
   - CBS
   - NBC

   Under Insurance, merge fire and theft. Under Research, divide Market as follows:
   Market
   - Data and Surveys
   - General

   These revisions are given as suggestions. Use your own judgement in evaluating the student's merges and revisions.

2. Transfers – Periodic Transfer System

	Transferred	Date of Disposal
1.	No	
2.	Yes	March 2, 1977
3.	Yes	February 28, 1977
4.	Yes	January 3, 1977
5.	No	
6.	Yes	January 15, 1977
7.	Yes	March 7, 1977
8.	Yes	March 21, 1977

The quarter ended March 31, so the January, February, and March invoices would be transferred April 1 and held two years before disposal. The April invoices would not be transferred until the quarter ended June 30 and transferred on July 1.